Quickstart

Scorebook Preparation Instructions for Case Study and Stage 1-Independent Review

□ **Step 1- Review for Conflict of Interest** ***(This is not necessary for the case study.)***

- Complete the Conflict of Interest Determination Worksheet
- Review the Applicant's Eligibility Certification Form, Additional Information Needed Form, and Organizational Profile.
- Pay particular attention to the organizational charts and key customers, competitors, and suppliers.
- Notify the BNQP office immediately if you identify any situation that could be perceived as a conflict of interest.

□ **Step 2-Assemble materials.**

- Schedule 40-60 hours to complete your scorebook.
- Assemble documents and tools—the appropriate Criteria and Scoring Guidelines, the application, pens, highlighters, clock, and calculator.
- Download the following documents from the BNQP web site (www.baldrige.nist.gov/04Scorebook.htm):
  - 2004 Scorebook Full Version- pdf file. Print and use for instructions, guidance, and examples of completed work.
  - 2004 Scorebook Forms Only-Word version to be used to capture your evaluation.
- After completing the COI Determination Worksheet, sign the Conflict of Interest and Code of Ethical Standards/Declaration of Principles Statements. ***(This step is not necessary for the case study.)***

□ **Step 3-Review the Criteria and read the application.**

- Review Core Values and Concepts in the 2004 Criteria for Performance Excellence booklet.
- Review Criteria requirements in the 2004 Criteria for Performance Excellence booklet.
- Review the Scoring System and Scoring Guidelines in the Criteria booklet.
- Read the entire case study/application, highlighting and/or taking notes on the applicant's key processes and results.

□ **Step 4- Draft an initial list of key factors.**

- Read the Criteria questions for Items P.1 and P.2.
- Read the case study/applicant's Organizational Profile that responds to the Criteria questions in Items P.1 and P.2.

- Use these responses to draft an initial list of key factors. (Key factors are attributes of an organization and its environment that help Examiners assess the organization's performance management system.)
- Record these key factors—listed in the order of the questions in P.1 and P.2—on the Key Factors Worksheet found in the scorebook.
- Add relevant key factors to the Key Factors Worksheet throughout your evaluation, as this is an iterative process.
- A sample of a completed Key Factors Worksheet can be found in Section II of the full version of the 2004 Scorebook.

□ **Step 5-Draft an initial list of key themes (optional).**

- Having read the entire case study/application, draft a list of initial overall impressions such as issues that cut across multiple Criteria Items or Categories or issues that relate to the Core Values and Concepts.
- Many Examiners find this helpful as a means to capture first impressions; however, if this step does not add value to your evaluation it is not required.

□ **Step 6-Evaluate each Process Item in Categories 1-6. (Complete Steps 6 and 8-12 for each Process Item)**

- Read the specific Item to understand what it is asking for.
- Identify the most relevant 4-6 key factors that link the Item requirements to the application. This will be a subset of the key factors you recorded on the Key Factors Worksheet. The 4-6 key factors will vary depending on the focus of each Criteria Item.
- Read the relevant section of the application to understand the applicant's response. Be sure to credit the applicant for information provided elsewhere that responds to the Item.
- Continue to highlight, flag, mark-up, and/or take notes as needed.
- Make a note of any measure/indicator you expect to see reported in results.
- (Move to Step 8 for instructions on developing summary notations for Process Items, then resume with Step 7.)

□ **Step 7-Evaluate each Results Item in Category 7. (Complete Steps 7-12 for each Results Item)**

- Read the specific Criteria Item to understand the results it is asking for.
- Identify the most relevant 4-6 key factors from your Key Factors Worksheet that link to the Results Item requirements or the corresponding Process Item.
- Read the relevant section of the application to understand the applicant's response. Be sure to credit the applicant for information provided elsewhere that responds to the Item.

- Optional- Complete the Results Matrix (Scorebook Attachment 1) for each Item in Category 7, using one row for each figure. This matrix is designed to help you capture your observations, not replace your evaluation.
- Determine whether the results provided cover the areas of importance to the applicant. (Refer to your notes on results you expected to see.)

□ **Step 8-Develop Summary Notations**

- Develop summary notations—these are phrases with enough detail to link thoughts to the Criteria, and key factors—capturing the most important thoughts. They should contain a **subject** (identified from the Criteria or the application), **verb(s) and descriptive language** (from the Criteria), **examples** (from the application), and citation of relevant figure numbers—but need not be complete sentences.
- Reread the Criteria to identify gaps (any of the multiple requirements that are not addressed), if any, in the applicant's response and add these gaps to the list of summary notations.
- Consider key factors in evaluating deployment, for example, the number, locations, or types of employees.
- Check for connections in the applicant's response to different Criteria Items. Linkages may be called out in Criteria notes or may occur naturally.
- Pare the number of notations down to the 6-10 most relevant or important ideas for the Item (considering Criteria requirements and/or key factors). This may require combining like thoughts and similar ideas related to the evaluation factors (e.g., approach, deployment, learning, integration, levels, trends, comparisons, and linkage) or to the applicant's key factors. This will help you avoid using the Criteria as a checklist.
- Designate the Area(s) to Address for each summary notation (e.g., 1.1a[1], 1.1a[2]), and the key factor(s) to which it relates.
- Considering the applicant's key factors, designate for each summary notation whether it is a +, -, ++, or --. Double pluses and minuses should indicate particularly important observations and those that have significant impact on the applicant's performance management system.

□ **Step 9-Review the following evaluation factors and revise your summary notations as necessary.**

- <u>PROCESS ITEMS</u>

  Approach:
  - "Approach" Refers to the methods used to accomplish a process.
  - What approach or collection of approaches is discussed?
  - What Areas of the Criteria Item does the approach address (e.g., 1.1a, 1.1.b)?
  - Is the approach systematic (with repeatable steps, inputs, outputs, key steps, timeframes)?

- Is there evidence that the approach is effective?
- Is this approach (or collection of approaches) a key organizational process? Is the approach important to the applicant's overall performance? (If yes, clearly state why it is important and cite the key factors used to support your position.)
- Are any of the multiple requirements of the Item that are not addressed (gaps) important to the applicant?

Deployment:

- To what extent is the approach deployed (shared or spread) throughout the organization (early stages, well deployed but with some variation among areas/work units, well deployed with no gaps, fully deployed)?

Learning:

- Has the approach been evaluated and improved? If yes, is the evaluation and improvement conducted in a fact-based, systematic manner (e.g., regular, recurring, data driven)?
- Is there evidence of organizational learning (i.e., evidence that the learning from this approach is shared with other organizational units/other work processes)? Is there evidence of innovation and refinement from organizational analysis and sharing (e.g., evidence the learning is actually used to drive innovation and refinement)?

Integration:

- How well is the approach aligned with the applicant's organizational needs identified in the other Criteria Items and the Organizational Profile? How well is the approach integrated with these needs? (Examples of needs are strategic challenges, objectives, and related action plans; organizational mission, vision, and goals; key processes and measures; key customer/market segments and requirements; and employee groups and requirements.)

- <u>RESULTS ITEMS</u>

  Performance levels:

  - Are key results missing? What levels are provided? Is the measurement scale meaningful?

  Trends:

  - Are trends provided? Are they positive, negative, or flat? What is the rate of change (slope of the trend)?

  Comparisons:

  - Are comparisons provided? Are the comparisons to an industry sector average, key competitors, or best-in-class organizations? How does the applicant compare against other organizations?

  Linkage:

- To what extent do results link to key factors and Process Items (e.g., important customers/patients/students, product and service, market, process, and action plan performance requirements)?
- Are results segmented to help the applicant improve (e.g., by customer/student segment, employee type, process/education program or service)?

□ **Step 10-Score each Item.**

- Review the Criteria requirements and summary notations for the Item.
- Note the balance and importance of strengths and opportunities for improvement (+, -, ++, --) relative to Item requirements and the key factors.
- Read the description for a 50-65% range in the Scoring Guidelines to determine whether the applicant would score within, above, or below this range.
- Remember that the applicant does not need to satisfy all of the four process or four results factors in the selected range; rather, the selected range should be the one that is most descriptive of the organization's achievement level.
- Continue reading the descriptors until you have determined the range that is most descriptive of the organization's achievement level.
- Read the range descriptions above and below the selected range to determine where, within the range, the applicant's score falls.
- For independent and case study review, determine a percent score that is a multiple of 5 for each Item.
- Verify the balance and importance of strengths and opportunities for improvement (+, -, ++, --) relative to the score. Higher scores should be reflected by a greater number of strengths and/or ++'s. Lower scores should be reflected by a greater number of OFI's and/or --'s.

□ **Step 11-Draft feedback-ready comments for each Item.**

- Write feedback-ready comments from your 6-10 notations for each Item on the Item worksheets in the scorebook. ***For the case study only, create one full, feedback-ready strength and one full, feedback-ready opportunity for improvement for each Item. Other thoughts may remain as summary notations. During the Stage 1 evaluation, all comments must be feedback ready.**
- Ensure each comment contains essential components (subject identified from the Criteria or the application, verb[s] and descriptive language from the Criteria, examples from the application, and citation of figure numbers). Each comment should consist of a single, complete thought.
- Add language from the Scoring Guidelines if it will improve the comment. (Use the language from the scoring range you selected to supplement strength comments. Use language from the same or next higher scoring range to supplement OFI comments.)

- If not apparent, create a "so-what" linking the comment to the relevant key factor. A "so-what" is a statement that calls out the linkage between the Criteria requirement and an applicant key factor. "So what's" can be either implicit, especially in strengths, or explicit, written to explain why the comment is relevant and important to the applicant. "So what's" are not required for all comments. (Refer to Section II of the scorebook for guidance and examples.)
- For Results Items
  - -Note levels, trends, comparisons, and linkages to the applicant's key organizational requirements, and gaps.
  - -When citing complex figures, reference only the most important results.
  - -Cite specific numbers or percentages.
- Sample Item comments and completed worksheets can be found in Section II of the full version of the 2004 Scorebook.

□ **Step 12-Check all comments.**

- Make sure the number of comments totals 6-10 for each Item.
- Make sure that each comment is a single, complete thought.
- Ensure the comment is important to the applicant in light of the key factors. If not, consider eliminating it or combining it under a higher-level comment.
- Make sure the comment is tied to Criteria language and key factors.
- Make sure language from the Scoring Guidelines is used as appropriate.
- Make sure the language is crafted to make the comment actionable without being prescriptive.
- Use language from the Criteria to ensure applicants clearly understand the origin and meaning of the comment. (Applicants receive only the comments. All references to areas to address, key factors, +, ++, -, - -, and evaluation characteristics are removed from the final feedback report.)
- Eliminate conflicts between strengths and OFIs both within Items, across all Items, and within key themes.
- Ensure a balance of strengths and OFIs that reflects the applicant's score.
- Check that the importance of '++' and '- - ' comments is captured through reference to the key factors and language from the Scoring Guidelines.
- Repeat Steps 6 and 8-12 for each Process Item. Repeat Steps 7-12 for each Results Item.

□ **Step 13-Record all scores.**

- Complete the appropriate Score Summary Worksheet in the scorebook.
- Transfer the percentage score from each Item Worksheet to column B. The worksheet in the Scorebook is programmed to calculate the scores for you; however, if you have difficulty, you may perform the calculations manually:

    - Compute and record the point score for each Item in column C;
    - Compute the average of the Item point scores and record the point score for each Category in column C (SumC);
    - Compute and record a grand total in space D.
- Verify scores and calculations.

□ **Step 14-Prepare the Key Themes Worksheet.**

- Review questions A, B, and C on the worksheet.
- Key Theme comments generally should be at a higher level than Item comments and cut across multiple Areas to Address and/or Items.
- All Key Themes comments must be traceable to comments found in the Item Worksheets.
- Additional guidance and samples are found in Section II of the full version of the 2004 Scorebook.

For question A, read all of the strength comments for all of the Items in Categories 1-6.

- Identify any ideas/threads that appear in multiple Items or Categories. Reviewing the Core Values and Concepts from the Criteria can be helpful in identifying cross-cutting themes.
- Craft a comment for each of these potential key themes. Examples of these themes might include the applicant's process orientation highlighting the **approaches** where this orientation is seen; the applicant's **deployment** of its key processes to all appropriate work units with examples of the processes that appear to be fully deployed; the applicant's use of a systematic **learning**/evaluation and improvement methodology and examples across the Items where the methodology is used; the applicant's **integration** of its approaches with its strategic objectives or challenges, noting specific examples of this integration; or the applicant's demonstration of a specific **Core Value/Concept** from the Criteria, with specific examples from multiple Items.
- Review all of the ++ Item-level comments.
- Consider whether the ++ Item-level comments should be repeated as a key theme if not already covered by the strength themes you have crafted.
- For lower-scoring applicants, you will have few key themes comments under Question A.

For question B, read all of the OFI comments for all of the Items in Categories 1-6.

- Identify any OFI ideas/threads that appear in multiple Items or Categories.
- Craft a comment for each of these potential key themes. Examples of these themes might include the applicant's lack of systematic **approaches,** highlighting areas where gaps are noted; the applicant's lack of clarity around or gaps in **deployment** of its key approaches to all appropriate work units, giving examples of where the lack of clarity or

gaps exist; the applicant's opportunity to improve the **integration** of its approaches with its strategic objectives or challenges, noting specific examples of which objectives, challenges, or key student/patient/customer groups are not addressed by the applicant's approaches; or the applicant's **gaps** in responding to the Criteria requirements, giving examples of Criteria Areas not responded to and important to the applicant.

- Review all of the – – Item-level comments.
- Consider whether the – – Item-level comments should be repeated as a key theme if not already covered by the OFI themes you have crafted.
- For lower-scoring applicants, you would expect to see fewer comments in question A (strengths/role-model practices) than in question B (OFIs/concerns/vulnerabilities).

For question C, reread all of the comments for Category 7.

- Consider possible themes in the following areas:
  - **good performance levels and positive trends** across the Items in the measures most important to the applicant's organization, including how the applicant compares to other organizations
  - **poor performance levels and/or unfavorable trends** across the Items in the measures most important to the applicant's organization
  - **comparative data** - the absence of comparative date overall (giving specific examples from the Items) or the absence of a particular type of comparative data that would be important to the applicant in guiding its improvement efforts (e.g., competitive data, use of industry average as a benchmark when the applicant's goal is to be world class or where the applicant performance already exceeds industry average)
  - **missing data** - the absence of results addressing specific areas of the Category 7 Items; the absence of results on key measures discussed in Categories 1-6 (e.g., measures of key approaches and key processes and progress relative to strategic objectives, challenges, and action plans)
  - **segmentation/Linkage** – the presence or absence of results addressing specific segments of applicant's customers, students, employees, locations, etc.
- Review all ++'s and --'s in the Category 7 Items.
- Consider whether these ++ and/or -- Item-level comments should be repeated as key themes if not already covered by the question C themes you have crafted.

□ **Step 15-Finalize key factors.**

- Compare the key factors on your Item Worksheets with the initial list contained on the Key Factors Worksheet.
- Add additional key factors identified through the evaluation process.

- Determine whether any of the key factors on the original list that were not used should be added to the Item Worksheets.
- Alternatively, consider eliminating from the Key Factors Worksheet any of the key factors not used on your Item worksheets.

□ **Step 16-Complete the checklist in the scorebook.**

□ **Step 17-Assemble the scorebook in the following order:**

- Cover Sheet
- Completed Conflict of Interest Determination Worksheet
- Signed Conflict of Interest Statement
- Key Factors Worksheet
- Key Themes Worksheet
- One Item Worksheet for each Item in ascending numerical order (e.g., 1.1, 1.2)
- Score Summary Worksheet
- Completed checklist
- Diskette containing your completed scorebook

□ **Step 18-Record the information requested on the front cover of the scorebook, including the time spent in completing the scorebook.**

To be admitted to training, bring two paper copies of your scorebook.